



**Washington State  
Public Disclosure  
Commission**

# **Personal Financial Affairs Statement**



**January 2005**

**Instruction Manual and  
Blank Forms**

*"The public's right to know of the financing of political campaigns and lobbying and the financial affairs of elected officials and candidates far outweighs any right that these matters remain secret and private."*

RCW 42.17.010 (10)

## **F-1 Report Due Dates**

**(Date by which report must be mailed or hand-carried to PDC)**

**Elected officials currently in office (annual report).....** **Between**  
**Jan. 1 - April 15**  
**(Report is due even if official filed an F-1 last year as a candidate.)**

**Elected officials who left office during** **Between**  
**preceding calendar year (final report).....** **Jan. 1 - April 15**

**State appointed officials (annual report).....** **Between**  
**Jan. 1 - April 15**

**Officials appointed to fill vacancy** **Within two weeks**  
**in elective or state appointive office.....** **of appointment**

**Candidates (non-incumbents).....** **Within two weeks**  
**of becoming a candidate**

All reports filed with the Commission are public records. Copies are available at cost:  
Paper copies of scanned reports -- 10 cents per page plus postage  
Microfiche -- 25 cents per film page plus postage  
(Each film page contains up to 96 pages of reports.)

Send your suggestions for improving these instructions to:

Public Disclosure Commission  
711 Capitol Way, Suite 206  
PO Box 40908  
Olympia, WA 98504-0908

Telephone (360) 753-1111  
Toll Free 1-877-601-2828  
Fax (360) 753-1112 (DO NOT send F-1 report by fax)  
E-mail -- [pdcc@pdcc.wa.gov](mailto:pdcc@pdcc.wa.gov) (DO NOT send F-1 report by e-mail)

Instructions in this booklet are provided to assist in the preparation of reports required by chapter 42.17 RCW. Care has been taken to make these instructions accurate yet concise. However, these instructions cannot be substituted for the applicable provisions of RCW 42.17 and WAC 390. The law and rules are controlling in the event of any conflict with or omission in the instructions. Copies of the law and rules are available on request.

## **Blank Forms Located in Back of This Manual**

Instructions on how to file your F-1 electronically can be found on page 26. Call the PDC office or visit our web site at [www.pdc.wa.gov](http://www.pdc.wa.gov) for additional information.

# Key Points About Financial Affairs Reporting

## Postmark Date

The postmark date is considered the file date. Therefore, persons filing their annual report may mail the properly completed and signed statement on or before April 15 and be in compliance. (Persons filing as candidates or new appointees may likewise mail their reports within 2 weeks of the date that triggers filing and be on time.)

## Send Reports to PDC

File your personal financial affairs statement with PDC. If you hold county or city elected office (or are a candidate for county or city elected office), check with your county auditor or city clerk (because your local jurisdiction may also require that you file a copy of the report locally).

## Reporting is an Annual Event

Persons holding state or local elected office (and “executive state officers”) must file personal financial affairs statements every year by April 15, even if they filed last year as a candidate for office, as an official holding office, or as a person who was newly appointed to office. For more details, see “When to Report” beginning on page 2.

## Reports Cover a Specific Period of Time

Persons newly appointed to office or filing as candidates disclose sources of income and other financial information for the previous 12 months. Persons filing their annual report (due no later than April 15) disclose financial activity for the entire preceding calendar year. See “Time Period Covered by Report—Reporting Period” beginning on page 3.

## Keep a Copy for Yourself

Be sure to keep a personal copy of your report so you have it to refer to next year.

## Who Must File a Personal Financial Affairs Statement (F-1, F-1 Supplement, F-1A)

Officeholder or Candidate for	Report Required?
U.S. Senator or Representative	No
Statewide Office: Governor, Lt. Governor, Attorney General, etc.	Yes
State Senator or Representative	Yes
Justice or Judge: Supreme, Appeals or Superior Court	Yes
County-wide Office: Assessor, Auditor, Clerk, Commissioner, Council Member, Coroner, Executive, Prosecutor, Sheriff, Treasurer	Yes
City or Town Office in jurisdiction of: Fewer than 1,000 registered voters*	No
1,000 or more registered voters*	Yes
Districts: Fire, Hospital, Judicial, Park, Port, PUD, School, Sewer, Water and municipal corporations in jurisdictions of	
Fewer than 1,000 registered voters*	No
1,000 or more registered voters*	Yes
Districts where voters must have special qualifications such as property ownership	No
Cemetery District Commissioners	No
Precinct Committee Officer	No
Executive State Officers (see inside back cover)	Yes

\* The number of registered voters is as of the date of the preceding general election.

# Why We Have Financial Disclosure

In 1972, nearly one million Washington residents -- or 72% of the voters -- supported an initiative designed to bring more openness and accountability to this state's political process. With the adoption of that initiative, the voters declared that the personal and business finances of elected officials should be disclosed and available for public review. Four years later, voters reaffirmed this position on financial disclosure when they added state-level appointed officials to the list of persons who must file these disclosure reports.

Since 1973, approximately 210,000 financial disclosure statements have been filed by Washingtonians who have been candidates or elected officials, or were serving in key appointive positions in state government.

Filing reports that disclose financial interests and holdings is more than a formality. It's a means for the public to have tangible proof that officials are acting in the public interest and not for their private gain. Conversely, completing the reports gives officials an opportunity annually to review their holdings and be more sensitive to subjects that might pose an actual or perceived conflict of interest.

Some form of conflict of interest or ethics laws has been on the books for generations. They stem from common law and the biblical caution that "no man can serve two masters." These laws, and their inherent prohibitions, go hand-in-hand with financial disclosure. Each is virtually meaningless without the other.

## What to do in Case of a Conflict

If, during the preparation of your financial affairs report or later while serving in public office, you think you may have a conflict of interest, PDC suggests the following course of action:

- Take no action until it's decided whether you have a conflict.
- Seek advice from your agency attorney, your jurisdiction's ethics agency, your own attorney or the State Auditor's Office.
- Discuss the matter with members of your government agency. Inform them of the potential or actual conflict.

The Public Disclosure Commission has no legal authority to consider whether an action does or does not constitute a conflict of interest or a violation of any state or local ethics law.

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# Who is Exempt From F-1 Reporting

The following people do not need to file the personal financial affairs statement, PDC form F-1.

- Candidates for federal office or officials holding federal government positions.
- Candidates and elected officials in jurisdictions that had fewer than 1,000 registered voters at the time of the last general election, unless a "petition for disclosure" has been filed with PDC or the jurisdiction has passed a local ordinance requiring disclosure. (Check with your county elections officer regarding the number of registered voters.)
- Cemetery district commissioners and candidates
- Precinct committee officers and candidates
- Officials and candidates in districts that have special qualifications for voting, such as property ownership. These districts include the following:

agricultural pest control	irrigation and reclamation
conservation	irrigation and
diking	rehabilitation
drainage	mosquito control
educational service (ESD)*	public waterway
flood control	sewer improvement
irrigation	weed
intercounty weed	

(\*This educational service district exemption does not apply to school district directors.)

## Introduction to F-1 Reporting

Preparing a financial affairs statement cannot be done casually, but neither should it be seen as a task that is necessarily overwhelming or somehow beyond the ability of any person who is, or seeks to be, a public official. Completing the statement will take time and a thorough review of your finances and investment holdings. This instruction manual will help, but it may not answer all your questions. You are encouraged to contact the Public Disclosure Commission (PDC) or your attorney for guidance on how to report special situations.

We recommend you look at the F-1 and F-1 Supplement forms (located in the back of this manual) and then read the instructions carefully before completing each section of the report.

State officials needing information about the state Ethics Law are reminded that PDC has no authority to advise them regarding the acceptability of gifts or other items. Contact either the Executive Ethics Board (360/664-0871), the Legislative Ethics Board (360/786-7540) or the Judicial Conduct Commission (360/753-4585).

**Each F-1 you file must include certain financial information on you, your spouse, your dependent children and other dependent relatives if they lived with you during the reporting period.** In other words, include information regarding dependent children regardless of where they lived. (Do not report information about independent adult children who lived at home or away from home.) Include information about other dependent relatives only if they lived with you.

This booklet contains general information, section-by-section instructions for completing the forms and the forms themselves. The section-by-section format consists of a quotation from the statute, an explanation of the statutory language, and an example.

The amounts of the reporting thresholds and dollar codes were adjusted for inflation in 1997 (WAC 390-24-301). The reporting forms and statutory excerpts in this manual reflect these adjustments.

If you have questions, comments or suggestions on ways to improve these instructions, please contact PDC. If you write to us with questions, also include a daytime telephone number.

## Who Must Report

**State Level:** The following persons holding or seeking state office must file F-1 reports:

- Elected Officials -- All persons elected to state office (even though the person may have filed an F-1 as a candidate only a few months ago);
- Appointees to Elective Office -- Persons appointed to fill vacant elective offices;

- Candidates -- Anyone running for legislative or state-wide executive office; and
- Appointed State Officials -- The professional staff of the Governor's Office and the Legislature as well as other "executive state officers" designated in RCW 42.17.2401 (see list on the back cover).

**Local Level:** If a jurisdiction has at least 1,000 registered voters as of the last general election, then the following persons must file an F-1 report:

- Elected Officials\* -- All persons elected to county, city, town or other local office (even though the person may have filed an F-1 as a candidate only a few months ago);
- Appointees to Elective Office\* -- Persons appointed to fill vacant elective offices; and
- Candidates\* -- Anyone seeking an elective office.

\* Report not required if office is exempt. See "Who is Exempt From F-1 Reporting" on page 1.

**Judicial Branch:** All persons holding, seeking or appointed to:

- an elected judge or justice position on a superior or appeals court or the state supreme court, or
- an elected judge position on a district or municipal court in a jurisdiction of 1,000 or more registered voters as of the last general election

must file personal financial affairs statements, even if the position is part-time, temporary, or both. However, actual pro tem judges are not required to file because they do not hold an elected office.

## Where to Report

State law only requires that F-1 forms be filed with the Public Disclosure Commission (PDC) in Olympia. Mail the form carrying your original signature to the PDC at the address on the inside of the front cover. Since the document must carry your original signature, copies sent via facsimile are not legally sufficient and are not considered properly filed.

PDC is aware that two jurisdictions have adopted local ordinances requiring that F-1 reports also be filed locally. Other cities or counties may have similar requirements. Contact your specific jurisdiction for more information.

The following two localities require local filing of the F-1 form:

- City of Seattle elected officials and candidates for city offices must also file a copy of their F-1 report with the Seattle City Clerk by the same due date specified in state law.
- Snohomish County elected officials, candidates for county elective office (except county judicial office), and some county appointed officials are obligated to file a copy of the F-1 with the Snohomish County Auditor by the same due date specified in state law.

Note that King County gives local county officials and candidates for county offices the option of filing the F-1 in lieu of filing the county financial disclosure form. Contact the King County Board of Ethics at (206) 296-1586 for more information.

## When to Report

**Elected Officials (state, local & judicial):** **File an F-1 report between January 1 and April 15 during each year you hold office.** Also, if your term of office ends December 31 or in January, you're required to file a final report by the following April 15. Generally, reports cover the preceding calendar year. (For those leaving office on December 31, reports cover the year ending on that December 31.)

(NOTE: Remember, if you filed a report as a candidate last year and were elected, you must file again by April 15 of this year. Every year you hold office you're required to file a report between January 1 and April 15 covering your finances for the entire previous calendar year.)

Local elected officials who resign or are removed from office prior to the end of their term must file a report covering that portion of the year they were in office. This report is due by April 15 of the following year. (For example, if a local elected official resigns on August 31, he or she will file by April 15 of the following year for the eight-month period he or she was in office.)

**Appointees to Elective Office (state, local & judicial):** **File an F-1 report within two weeks of being appointed to fill a vacant elective office.** This initial report covers the previous 12 months. Thereafter, report as described above for Elected Officials.



**Candidates for State, Local and Judicial Office: File an F-1 report within two weeks of becoming a candidate (covering previous 12 months).** You become a candidate when you first receive contributions, make expenditures, reserve space or facilities for your race, buy commercial advertising space or time, authorize another person to take any of these actions on your behalf, or when you make a public announcement that you're a candidate or you file a Declaration of Candidacy, whichever occurs first.

Candidates who already have a current financial affairs report on file with PDC -- because they're the incumbent or hold another position that makes them subject to the law -- do **not** file a second report. Only one F-1 report per person per year is required.

However, many candidates will be required to file a series of "C" forms reporting the campaign money they receive and spend during the election. Check with PDC or your county elections office regarding which reports are necessary.

**Appointed State Officials (Including professional staff of Governor's Office and Legislature): Report within two weeks of initial appointment.** Thereafter, file annually by April 15. See inside of back cover for list of those appointed officials who must file personal financial affairs reports. (The list of "executive state officers" who must file F-1 reports is found in RCW 42.17.2401.)

Persons who assume a position designated in RCW 42.17.2401 in an acting capacity, by virtue of an ex officio appointment or as a designee of the official must also file F-1 statements. Non-voting ex officio members of state boards and commissions are not required to file unless specifically required to do so elsewhere in law.

## Time Period Covered by Report--Reporting Period

Each F-1 report only covers a specific period of time. For example, an official filing his or her annual F-1 report will show financial information relevant to the preceding calendar year. See below for information on the reporting period for each type of filer.

### The Previous Calendar Year (January - December) is the Reporting Period for:

- elected and appointed state officials holding office in January of current year and filing annual report,
- elected local officials holding office in January of current year and filing annual report.

(Note: Persons filing their annual report will disclose information for the entire preceding calendar year, even if doing so means the report now being filed duplicates part of the activity included on their first report that covered the 12 previous calendar months.)

### The Previous 12 Calendar Months is the Reporting Period for:

- persons newly appointed to fill a vacant state or local elected office,
- persons newly appointed to fill a vacant state executive office,
- persons appointed to fill a newly created executive state office, and
- candidates for local or state elected office.

### Special Situations Applying to Local Officials:

If you resigned, or were otherwise removed, from a local elected office prior to the expiration of your term, file a report covering the portion of the year you were in office no later than April 15 of the following year.

If you're a local elected official and your term ends on or before December 31, file a report covering that calendar year by the following April 15.

## Types of Reports: The F-1, F-1 Supplement and F-1A

Although some type of financial affairs report is required annually from persons subject to the law, it may not be necessary to file the full F-1 (long form) every year if there are no or only minor changes to the full F-1 already on file with PDC.

**F-1:** This form is used by persons completing their first financial affairs report or by persons otherwise ineligible to use the shorter F-1A form (see below).

**F-1 Supplement:** This form is filed as part of the F-1 report if the answer to one or more of the questions in Part 5 of the F-1 is "yes."

The Supplement discloses your or a family member's relationships with businesses, unions, associations and the like if you or they were an owner, partner or officer of the entity. The Supplement also shows if you or your family members lobbied at the state level. Officials filing an annual report must also file the Supplement if they or an immediate family member received food and beverages costing over \$50 per occasion, travel expenses or educational benefits from some person or entity other than the official's agency. Submit the Supplement only if it is applicable to you or your immediate family.

**F-1A:** Complete this "short-form" if you have no changes or only minor changes to your previously filed full F-1 report. Read below to see if you qualify.

**When To Use Form F-1A:** You are eligible to use the F-1A short form to satisfy your annual financial affairs filing requirement so long as you meet both of these criteria:

1) the full F-1 (long form) that is already on file with PDC from you is no more than three years old (for example, if you filed a long form in 2004, potentially you could file the F-1A in 2005, 2006 and 2007) and

2) the information supplied on that previously filed full F-1 is still accurate or there are only minor changes to reflect on the F-1A being submitted.

A complete F-1 report must be filed at least every four years.

The Commission reserves the right to require a complete F-1 report if it believes the information on an F-1A report could confuse or mislead a person reading the report.

## Electronic Filing

Public officials and candidates can file their Personal Financial Affairs Statement electronically over the Internet. The F-1 filing process provides an easy way for elected officials, state appointed officials and candidates to comply with the state reporting requirements. Officials may use agency computers and staff to file annual F-1 reports (since filing requirement stems from their holding public office). For instructions on how to file electronically see page 26 or contact the PDC with questions at (360) 753-1111 or toll free at 1-877-601-2828.

## Requests for Reporting Modifications

The Public Disclosure Commission may suspend or modify the reporting requirements if it decides that the law works a "manifestly unreasonable hardship" on the filer and the modification "will not frustrate the purposes" of the disclosure law. If you believe your situation meets these two statutory tests and you can provide convincing arguments to that effect, you have the option of requesting a reporting modification.

Usually, requests for modification come from people who are partners or owners of a business or who are officers, directors or trustees of an organization, association or union. These types of filers often request modifications because they must report the names of commercial customers or governmental agencies that paid their businesses, organizations, associations, and the like over \$7,500 during the reporting period.

To apply for a modification, write the Commission a letter stating:

- all the reasons why reporting the required information would cause an unreasonable hardship,
- suggest a modification that would relieve the hardship, and
- give reasons why granting this change would not "frustrate the purposes" of the disclosure law.

Send your F-1 report, as complete as possible, with your letter. Apply at least one month in advance of your filing deadline so that the Commission will have an opportunity to act on your request before the due date of the report.

A hearing will be scheduled to consider your request. It's best if you attend the hearing, but your presence is not required. **By law, a modification may only be granted for one reporting period.** Another application must be made in following years if you still need the modification.

## Other Key Points

**No Blue or Other Colored Ink:** All reports and attachments, if not electronically filed, must be typewritten or printed in black ink. Reports are scanned into a document imaging system and the scanner does not reproduce ink that is other than black.

**One Report Per Year:** Officials only need file one report each calendar year. If you have a current report on file with PDC, you do not have to file another report if you're up for re-election or you decide to run for another office.

**Corrections:** File amendments as soon as you discover that a previously filed report is incomplete or otherwise inaccurate. Include a cover letter with the amendment explaining the circumstances surrounding the error. Use 8-1/2" x 11" white paper.

(Remember, changes in your financial holdings which happened after the reporting period do not trigger an amendment. These changes will first appear on the report covering the period in which they occurred.)

**Attachments:** Use standard 8-1/2" x 11" white paper for any paper attachments. Identify all additional pages with your name, the time period covered by the report and the report section number.

**Current Events:** Significant changes in your life this year -- marriage, divorce, purchase of property, etc. -- do not affect a report covering a previous year. You'll report the financial effects of these changes on your next report.

**Incomplete Reports:** Filers are required to fill out each section of the F-1 and F-1 Supplement (or F-1A if using the short form) that applies to them and their immediate family members. Persons unable to disclose all the required information (perhaps because of special spousal holdings or business with whom they are associated refuses to cooperate) must request a reporting modification from the Commission (see above) rather than simply failing to include the required information on the report.

**File Date:** Reports are considered filed the day they are postmarked (or hand-carried to PDC). Reports filed electronically are considered received when validated by the PDC computer system.

**Personal Copy:** Be sure to keep a copy of your report. You'll need it next year and PDC may not be able to supply one in time for you to meet your reporting deadline.

**Compensation:** In the report, you will be asked to disclose sources of compensation for you, your immediate family members and businesses with which you and/or your family members are involved. By statutory definition, "**compensation**"

**means payment in any form for real or personal property or services of any kind.**

Compensation usually does not include payments for per diem, mileage or other forms of expense reimbursement paid to you or your immediate family members by your or their respective employers. However, if you or your family work in the private sector and you or they realize a profit from these expense payments over and above your actual expenses, the profit is considered compensation. See Part 1 of the Section-by-Section Instructions for more information on sources of compensation.

On the report, you'll use one of the Dollar Amount Codes (A, B, C, etc.) to show how much compensation was received from a given source during the reporting period. **Be sure to report the code range that includes your gross compensation figure, not the net figure you receive after taxes, deductions or (for businesses) operating expenses.**

**Reporting Amounts and Values:** When reporting the value of stocks, bonds and other intangible property, use the highest fair market value realized by the asset during the reporting period, not the year-end value or the asset's value when you're completing the report.

These amounts may be different from what you report for income tax purposes. To the IRS you may report only taxable income or profit from the sale of stock; the F-1 report asks for the gross, fair market value.

When reporting the amounts owed creditors, show the original amount owed and the balance due as of the day you file the report.

With the exception of two parts of the F-1 Supplement and one portion of the F-1A, when reporting amounts or values, use the dollar code shown below and in the box at the top of the F-1 form, rather than showing actual or approximate dollar figures. Dollar figures are only disclosed when reporting food, travel or educational benefits received or showing payments from your (actual or potential) governmental body to a business with which you or a family member was associated during the reporting period.

Dollar Code	Amount
A	\$1 to \$2,999
B	\$3,000 to \$14,999
C	\$15,000 to \$29,999
D	\$30,000 to \$74,999
E	\$75,000 or more

# Section-by-Section Instructions

**Heading:** Please type or print in black ink. Use your full name, not a nickname. Provide all the information requested, including the last four digits of your nine-digit zip code. **Be sure to identify your spouse (Sp) and your dependents (D).** However, the Commission

has ruled that if there is no reportable information to disclose for dependent children, or other dependents living in your household, you do not have to identify them. Remember, you must include financial information about yourself, your spouse, and your dependent children (even if they did not live with you during the reporting period) and other dependent relatives if they, in fact, lived with you during the period covered by the report and have reportable information to disclose.

Last Name <b>Parrot</b>	First <b>Polly</b>	Middle Initial <b>E</b>	Names of immediate family members. If there is no reportable information to disclose for dependent children, or other dependents living in your household, do not identify them. Do identify your spouse. See F-1 manual for details.
Mailing Address (Use PO Box or Work Address) <b>PO Box 123</b>			<b>SP Barry D.</b>
City <b>Cagetown</b>	County <b>Aviary</b>	Zip + 4 <b>99999-1111</b>	
Filing Status (Check only one box.) <input checked="" type="checkbox"/> An elected or state appointed official filing annual report <input type="checkbox"/> Final report as an elected official. Term expired: _____ <input type="checkbox"/> Candidate running in an election: month _____ year _____ <input type="checkbox"/> Newly appointed to an elective office <input type="checkbox"/> Newly appointed to a state appointive office			Office Held or Sought  Office title: <u>City Council Member</u>  County, city, district or agency of the office, name and number: <u>Cagetown City Council</u>  Position number: <u>2</u>  Term begins: <u>Jan 200X</u> ends: <u>Dec 200X</u>

## Part 1. Income, Employment and Compensation

**Excerpt from Statute.** According to RCW 42.17.241(1)(a) & (f), you must disclose for yourself and each member of your immediate family who has reportable information to disclose:

"Occupation, name of employer, and business address;" and

"The name and address of each governmental entity, corporation, partnership, joint venture, sole proprietorship, association, union, or other business or commercial entity from whom compensation has been received in any form of a total value of one thousand five hundred dollars or more; the value of the compensation; and such consideration given or performed in exchange for such compensation."

**Explanation.** "Compensation" means payment in any form for real or personal property or services of any kind. In other words, you show:

- the name(s) and address(s) of your employer or employers during the reporting period as well as those of your spouse, dependent children and other dependent relatives living with you;
- your occupations or the reasons you or your relatives received the income; and
- the names and addresses of other (non-employer) businesses and government agencies -- but not individuals -- that compensated you, your spouse or your dependent relatives \$1,500 or more during the reporting period. (For example, if you sold your pleasure boat to a business, you'd identify the buyer and specify a Dollar Code. If an individual purchased your boat, the sale would not be reported.)

Typical sources of income or compensation are:

- Your Employers (Also show your occupation and the proper Dollar Code for gross compensation received. Include deferred compensation earned during the reporting period when selecting the appropriate dollar code.)
- Employers of spouse or dependents (If your spouse and/or dependents earned \$1,500 or more from a business or government employer during the reporting period, show names and addresses of employers, occupations and appropriate Dollar Codes. If the employer was an individual, no reporting of compensation received from that employer is needed.)
- Other business or government sources from which you or your family received \$1,500 or more during the reporting period. For instance, you'd report the following income and identify the source if you or a family member received \$1,500 or more from:

social security income

sale of personal property to a business or government agency

strike benefits

salary for government service (Do not include travel or other office expense reimbursements.)

government assistance or subsidies (welfare, child support, disability compensation, farm subsidies, etc., but not payments received for foster child care)

unemployment compensation

rent or lease payments for real property

partnership income

trust income received by the beneficiary

compensation received by trustee for managing the trust

educational scholarships that are taxable as income

sales commissions (Show the identity of each business and government entity whose purchases generated a commission of \$1,500 or more in the aggregate during the reporting period as well as the identity of the business that actually paid the commissions, usually your employer or that of a family member; attach a list of these sources of income to your F-1 form if the space provided in Part 1 is insufficient.)

retirement income (unless it appears in Part 3)

honoraria, travel expenses (received as compensation for speeches or other appearances, rather than as reportable food, travel or seminars as discussed beginning on page 22.)

Note: If you or a family member sold real estate during the reporting period, you need not include the purchaser's name as a source of income because you will disclose this information in the Real Estate section below. However, if the sale took place before the reporting period, the property was bought by a business or government agency, and you or a family member realized \$1,500 or more during the reporting period from this earlier sale, the purchaser should be listed as a source of income in Part 1 of this report.

Income of \$1,500 or more generated by intangible assets (bank accounts, stocks, bonds, securities, insurance annuities, etc.) or the sale of intangible assets is disclosed in Part 3 of this report.

<b>1</b> <small>Show Self (S) Spouse (SP) Dependent (D)</small>	<b>INCOME</b> List each employer, or other source of income (pension, social security, legal judgment) from which you or a family member received \$1,500 or more during the period. (Report interest and dividends in Item 3 on reverse)		
	Name and Address of Employer or Source of Compensation	Occupation or How Compensation Was Earned	Amount: (Use Code)
S	Cagetown Medical Center, 4 Longlife Court, Cagetown	Lab Tech.	D
Sp	Best Medical Supply Co., 1122 Happy Hollow, Cagetown	Sales Rep.	D
Sp	Cagetown Hospital, Medical Park Avenue, Cagetown	Commissions	B
Sp	Professional Medical Clinic, Cagetown	Commissions	B
Sp	Medical Technology Magazine, 8400 5 <sup>th</sup> Avenue Hartford, CT	Authored two magazine articles	A
Check Here <input type="checkbox"/> if continued on attached sheet			

## Part 2. Real Estate

This is the portion of the report where you will disclose any real estate -- land, structures and mineral rights -- with an assessed value of over \$7,500 that is located in Washington State in which you, your spouse, dependent children or a dependent family member living with you held a financial interest at any time during the reporting period. Do not include real estate owned by a partnership, joint venture or other business, since that information is listed on the F-1 Supplement form.

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**Excerpt from Statute.** RCW 42.17.241(1)(h)(i) & (j) require: "A list, including legal or other sufficient descriptions as prescribed by the commission, of all real property in the state of Washington, the assessed valuation of which exceeds seven thousand five hundred dollars in which any direct financial interest was acquired (emphasis added) during the preceding calendar year; and a statement of the amount and nature of the financial interest and of the consideration given for such interest;" and

"A list, including legal or other sufficient descriptions as prescribed by the commission, of all real property in the state of Washington, the assessed valuation of which exceeds seven thousand five hundred dollars in which any direct financial interest was divested (emphasis added) during the preceding calendar year, and a statement of the amount and nature of the consideration received in exchange for such interest, and the name and address of the person furnishing such consideration;" and

"A list, including legal or other sufficient descriptions as prescribed by the commission, of all real property in the state of Washington, the assessed valuation of which exceeds seven thousand five hundred dollars in which a direct financial interest was held (emphasis added). Provided, That if a description of such property has been included in a report previously filed, such property may be listed, for purposes of this provision, by reference to such previously filed report."

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**Explanation.** It will be helpful to ask yourself these three questions:

1) What property did I or a family member sell or otherwise divest any financial interest in (give away, lose through legal judgment, etc.) during the reporting period?

2) What property did I or a family member buy or otherwise acquire any financial interest in (inherit, be given, acquire through a lease/purchase agreement, etc.) during the reporting period?

3) What other property did I or a family member own, fully or partially, any financial interest in during the entire reporting period?

**You only have to list property located in Washington State that had, during the reporting period, an assessed value of over \$7,500.**

Typically reported are homes, farms, vacation cabins, inherited property, leased property, rental property, raw land, and mineral rights.

When listing property use one of the following, along with the name of the county in which the property is located:

- Street address; or
- Assessor's parcel number; or
- Abbreviated legal description shown on property tax notices; or
- Complete legal description.

Do not use rural route or box numbers.

### Property Sold or Interest Divested

You are divested of a financial interest in property if you no longer may claim full or partial legal ownership. Generally, this happens through sales, expiration of leases, condemnation or foreclosure.

If you or a family member sold or otherwise divested your interest in real property, give:

- its location,
- its assessed value during the reporting period (use Dollar Code shown on the form),
- the name and address of the new owner, and
- the kind of payment or consideration received as well as the amount of payment or consideration received (use Dollar Code).

"Payment or consideration" means such things as cash, cash plus mortgage, real estate contracts, exchanges or trading of property, and promissory notes. The Dollar Code for each part of the payment should be shown: For example: Cash - "C"; Mortgage - "E".

## Property Purchased or Interest Acquired

You acquire an interest in real property through cash transactions, mortgages, lease agreements, deeds of trust, options to buy or lease, real estate contracts and the like.

If you or a family member for whom you're reporting acquired even a small financial interest in a piece of property that is located in Washington and was assessed at over \$7,500, you must disclose the following information:

- its location,
- its assessed value during the reporting period (use Dollar Code),
- the creditor's name and address,
- the payment terms (example: 25 years at 8% interest),
- the security given,
- the amount owed on the mortgage, lease or contract (use Dollar Code).

For property acquired during the reporting period, the "original mortgage amount" and the "current mortgage amount" may be the same.

In this case, "current" refers to the amount owed on the last day of the reporting period, not the day you complete the report.

NOTE: Since you're listing who extended you credit, the terms and the amount owed, you do not have to repeat this information in Part 4, Creditors.

## Other Property Entirely or Partially Owned

In this portion of the Real Estate section you'll report property in which an interest was held throughout the reporting period. Again, you'll report for yourself and appropriate family members and you'll include all Washington State property valued at over \$7,500, even if only a minor interest was held, except that which was bought or sold during the period (and reported as discussed above).

Report the same information as listed above in "Property Purchased or Interest Acquired." The notation about the Creditors section also applies here.

Once you've completed the Real Estate section, double check that you haven't forgotten to include, as sources of income in Part 1, businesses or government agencies that rented or leased property from you or your family.

A typical report might look like this:

<b>2</b>		<b>REAL ESTATE</b>		List street address, assessor's parcel number, or legal description AND county for each parcel of Washington real estate with value of over \$7,500 in which you or a family member held a personal financial interest during the reporting period. (Show partnership, company, etc. real estate on F-1 supplement.)			
Property Sold or Interest Divested		Assessed Value (Use Code)	Name and Address of Purchaser		Nature and Amount (Use Code) of Payment or Consideration Received		
1515 Oak Street Cagetown		D	Karen Adama 1515 Oak Street Cagetown		Cash Real Estate Contract B		
Property Purchased or Interest Acquired			Creditor's Name/Address	Payment Terms	Security Given	Mortgage Amount - (Use Code) Original Current	
100 Perch Place Cagetown		E	Medical Employee Credit Union	20% Down; 7-1/2% for 15 Years	Mortgage	E	E
All Other Property Entirely or Partially Owned							
635 Maple Avenue Cagetown (vacant lot)		C	City Bank 11 Cagetown Pl.	10% down; 9% for 10 years	Mortgage	C	B
Check here <input type="checkbox"/> if continued on attached sheet							

## Part 3. Other Assets and Financial Holdings

This is the category where you will report financial holdings, investments and other intangible property -- such as checking and savings accounts, insurance policies, stocks and bonds, etc. -- if they meet or exceed certain monetary thresholds. The ownership of tangible property (other than real estate), including furniture, farm machinery, motor homes, automobiles and coin collections, is not disclosed on your financial affairs statement. [However, if you sell tangible property, the income from the sale may be reportable in Part 1 (or if real estate, in Part 2); see previous discussions for details.]

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**Excerpt from Statute.** RCW 42.17.241(1)(b) requires you to report: "Each bank or savings account or insurance policy in which any such person or persons (you, your spouse, dependent children or other dependent family members living with you) owned a direct financial interest which exceeded fifteen thousand dollars at any time during such period; each other item of intangible personal property in which any such person or persons owned direct financial interest, the value of which exceeded one thousand five hundred dollars during such period; and the name, address, nature of entity, nature and highest value of each such direct financial interest during the reporting period."

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### Explanation.

#### A. Bank Accounts (>\$15,000 Threshold)

In this section you will give the name and address of each bank, savings and loan, credit union or other financial institution in which you or an immediate family member had an account over \$15,000 at any time during the reporting period. You will also:

- identify the type of account [savings, checking, sharedraft, certificate of deposit, individual retirement account (IRA) or KEOGH if managed by the bank], etc.;
- use the Dollar Code amount that reflects the account's highest value during the period;
- use the Dollar Code to disclose how much income was generated by the account, if at least \$1,500 in income was produced. If under \$1,500 in income was generated, put "none" or "N/A".

#### B. Insurance Policies (>15,000 Threshold)

Give the name and address of each insurance company where you or a family member had a policy **with a cash or loan value of over \$15,000** during the reporting period. Also

- identify the type of policy (life, disability, annuity, etc.);
- indicate the highest value of the policy during the reporting period using the Dollar Code; and
- use the Dollar Code to disclose how much income was produced, if at least \$1,500 in income was generated by the policy. If under \$1,500 in income, put "none" or "N/A."

#### C. Other Investments (>\$1,500 Threshold)

Show the name of each company, partnership, corporation, association, government agency, etc., in which you or a family member had a financial interest worth over \$1,500, including investments that were only held during a portion of the reporting period. Provide an address for investment holdings that are not listed on a major stock exchange.

This is the section in which you will show:

- stocks, bonds, securities, commodities (list each holding separately if worth over \$1,500 at any time during the reporting period; it's insufficient simply to identify the brokerage house)
- employer retirement system account (if you or a family member paid into an employer-sponsored retirement system, that retirement account is a reportable asset)
- IRA (if investor managed, list each holding worth over \$1,500; if managed by an agent, list name of manager or management company that decides how IRA money is invested)
- money market accounts (if investor managed, list each holding worth over \$1,500; if managed by an agent, list name of manager or management company that decides how money is invested)
- businesses in which you or your family had less than a 10% ownership interest (if 10% or more, file F-1 Supplement)



- loans owed you or an immediate family member by individuals, candidates, political committees, businesses, associations, churches, etc. (Do not include accounts receivable due in the normal course of business)
- legal judgments due you or your family

For each item listed, you are requested to provide a description, a value code (the highest value during the period) and, if appropriate, an income amount code. For stocks, bonds, and securities, you may list the highest number of shares held during the reporting period in lieu of giving the value code. No address is

required to be listed for a security holding that is traded on a major exchange.

Note: Each stock, bond and other intangible asset holding worth over \$1,500 at any time during the reporting period, whether held for the entire reporting period or just a portion of it, must be reported in this section. If you sold an intangible asset during the period, simply select the code amount that reflects the sale price plus any other interest or dividend income generated by the asset and put that code in the Income Amount column. No specific notation of the sale or the identity of the buyer is necessary.

3 ASSETS / INVESTMENTS - INTEREST / DIVIDENDS		List bank and savings accounts, insurance policies, stock, bonds and other intangible property held during the reporting period.	
A. Name and address of each bank or financial institution in which you or a family member had an account over \$15,000 any time during the report period.	Type of Account or Description of Asset	Asset Value (Use Code)	Income Amount (Use Code)
Western Mutual Bank, Local City National Savings Bank, Local City	Savings Certificate of Deposit	D C	A B
B. Name and address of each insurance company where you or a family member had a policy with a cash or loan value over \$15,000 during the period.  Friendly Insurance Company 1101 Sunshine Blvd. Anchorage, AK 99599	Whole life & variable annuity	D	A
C. Name and address of each company, association, government agency, etc. in which you or a family member owned or had a financial interest worth over \$1,500. Include stocks, bonds, ownership, retirement plan, IRA, notes, and other intangible property.  John Doe Trust (managed by City Bank) ABC Corporation, New York XYZ Company, Local City Public Emp. Retire. System, Olympia, WA Kevin Doe, Local City Best Brokerage House (managed by agent)	Blue Chip Stock Trust Stock Stock Vested in retire. fund Loan to relative IRA Account	E 20 Shrs 50 Shrs C B D	C B C None A None

Check here ☐ if continued on attached sheet.

## Part 4. Creditors

**Excerpt from Statute.** RCW 42.17.241(1)(c) requires: "The name and address of each creditor to whom the value of one thousand five hundred dollars or more was owed; the original amount of each debt to each such creditor; the amount of each debt owed to each creditor as of the date of filing; the terms of repayment of each debt; and the security given, if any,

for such debt: Provided, That debts arising out of a "retail installment transaction" as defined in chapter 63.14 RCW (Retail Installment Sales Act) need not be reported."

**Explanation.** Generally, this section of the law requires you to report loans and other indebtedness, regardless of whether money is owed an individual, a lending institution, other commercial businesses or your local, state or federal government.

In this section, include only **personal obligations** of \$1,500 or more that you or family members owed at any time during the reporting period. Don't include debts owed by a business you might own, unless you are personally liable for the repayment.

**Credit card debts and revolving charge accounts are not reportable.** Nor are "retail installment transactions" such as the purchase of an appliance on contract. Also, since you listed any outstanding mortgages and other real estate debts in Part 2, you need not repeat them here.

**Be sure to state, using the Dollar Code, the amount owed when the debt was first obligated, and the amount owed as of the date you're completing this report.** (In the other sections of this report, you gave values based on what they were during the reporting period; however, in the case of debts and liabilities, the law specifically asks for the balance due at the time you're filing this report.)

Common items reported in this section are:

- bank loans
- loans owed to individuals or companies (not including retail installment contracts)
- margin accounts with stockbroker
- finance company loans

- home improvement loans
- loans against insurance
- judgment against you or lien against your property
- pledge to a political committee
- loans to your campaign committee for which you are personally liable
- automobile loans
- taxes in arrears
- student loans
- business debts for which you are personally liable
- farm equipment loans for which you are personally liable
- notes you have co-signed
- Leases for property, vehicles, machinery or other equipment or services

A typical report might look like this:

<b>4 CREDITORS</b> List each creditor you or a family member owed \$1,500 or more any time during the period. Don't include retail charge accounts, credit cards, or mortgages or real estate reported in Item 2.			<b>AMOUNT (USE CODE)</b>	
Creditor's Name and Address	Terms of Payment	Security Given	Original	Present
Local City Treasurer, Local City	1 yr @ 8%	200X Taxes	B	A
Internal Revenue Service, Ogden, UT	ASAP @ 10%	Back taxes	C	B
National Higher Ed Fund, US Government Washington, DC	10 yrs @ 3-1/2%	Student Loan	D	C
Farmers Credit Union, 200 2 <sup>nd</sup> Avenue,	5 yrs @ 11%	Auto loan	C	C
Mary Smith, 840 Lincoln Ave., Distant City	2 yrs @ 10%	Note	B	A
Check here <input type="checkbox"/> if continued on attached sheet.				

# Are You Done?

For many people, this is the end of the line. Others, however, will have to file the F-1 Supplement as well. Answer the questions in Part 5 of the report. If you are filing the annual report due by April 15 and you answer "yes" to any of the questions, you must also complete the Supplement Page.

If you are a candidate or a new appointee filing an initial report and you answer "yes" to any of the questions posed in A thru D, you must also complete the Supplement Page. Question E does not apply to you.

**5**

All filers answer questions A thru D below. If the answer is YES to any of these questions, the F-1 Supplement must also be completed as part of this report. If all answers are NO and you are a candidate for state or local office, an appointee to a vacant elective office, or a state executive officer filing your initial report, no F-1 Supplement is required.

Incumbent elected officials and state executive officers filing an annual financial affairs report also must answer question E. An F-1 Supplement is required of these officials unless all answers to questions A thru E are NO.

- A. Were you, your spouse or dependents an officer, director, general partner or trustee of any corporation, company, union, association, joint venture or other entity at any time during the reporting period? Yes. If yes, complete Supplement, Part A.
- B. Did you, your spouse or dependents have an ownership of 10% or more in any company, corporation, partnership, joint venture or other business at any time during the reporting period? Yes. If yes, complete Supplement, Part A.
- C. Did you, your spouse or dependents own a business at any time during the reporting period? Yes. If yes, complete Supplement, Part A.
- D. Did you, your spouse or dependents prepare, promote or oppose state legislation, rules, rates or standards for current or deferred compensation (other than pay for a currently-held public office) at any time during the reporting period? Yes. If yes, complete Supplement, Part B.
- E. **Only for Persons Filing Annual Report.** Regarding the receipt of items not provided or paid for by your governmental agency during the previous calendar year: 1) Did you, your spouse or dependents (or any combination thereof) accept a gift of food or beverages costing over \$50 per occasion? Yes, or 2) Did any source other than your governmental agency provide or pay in whole or in part for you, your spouse and/or dependents to travel or to attend a seminar or other training? Yes. If yes to either or both questions, complete Supplement, Part C.

## Use of Public Facilities Prohibition

**Excerpt from Statute.** According to RCW 42.17.240(7): "Every elected official and every executive state officer shall file with their statement of financial affairs a statement certifying that they have read and are familiar with RCW 42.17.130 or 42.52.180, whichever is applicable."

**Explanation.** Local elected officials, including those appointed to fill vacant elective offices, are subject to RCW 42.17.130. State elected officials, executive state officers and persons appointed to fill both types of positions must abide by RCW 42.52.180. A copy of these statutes is located on the next page.

Both relate to prohibiting the use of public facilities to support or oppose a candidate or ballot proposition.

**With the exception of candidates, all other filers must read and be familiar with the prohibition that applies to them and also check the appropriate box on the F-1 or the F-1A form.**

Questions about RCW 42.17.130 may be directed to your jurisdiction's attorney, the local county prosecutor's office or PDC staff. Inquiries concerning RCW 42.52.180 should be directed to the Executive Ethics Board (360/664-0871), the Legislative Ethics Board (360/786-7540), or the Judicial Conduct Commission (360/753-4585).

## Signature, Etc.

**YOUR REPORT IS NOT VALID UNLESS YOU SIGN IT!** It's considered filed as of the postmark date shown on the envelope. Send your report "Return Receipt Requested" if you want documentation that you mailed it in a timely manner.

**Keep a copy of the report for your files.**

## Local Officials, Employees -- Use of Public Facilities Prohibition

**42.17.130 Forbids use of public office or agency facilities in campaigns.** No elective official nor any employee of his office nor any person appointed to or employed by any public office or agency may use or authorize the use of any of the facilities of a public office or agency, directly or indirectly, for the purpose of assisting a campaign for election of any person to any office or for the promotion of or opposition to any ballot proposition. Facilities of public office or agency include, but are not limited to, use of stationery, postage, machines, and equipment, use of employees of the office or agency during working hours, vehicles, office space, publications of the office or agency, and clientele lists of persons served by the office or agency: PROVIDED, That the foregoing provisions of this section shall not apply to the following activities:

(1) Action taken at an open public meeting by members of an elected legislative body to express a collective decision, or to actually vote upon a motion, proposal, resolution, order, or ordinance, or to support or oppose a ballot proposition so long as (a) any required notice of the meeting includes the title and number of the ballot proposition, and (b) members of the legislative body or members of the public are afforded an approximately equal opportunity for the expression of an opposing view;

(2) A statement by an elected official in support of or in opposition to any ballot proposition at an open press conference or in response to a specific inquiry;

(3) Activities which are part of the normal and regular conduct of the office or agency.

## State Officials, Employees -- Use of Public Facilities Prohibition

**RCW 42.52.180 Use of Public Resources for Political Campaigns.** (1) No state officer or state employee may use or authorize the use of facilities of an agency, directly or indirectly, for the purpose of assisting a campaign for election of a person to an office or for the promotion of or opposition to a ballot proposition. Knowing acquiescence by a person with authority to direct, control, or influence the actions of the state officer or state employee using public resources in violation of this section constitutes a violation of this section. Facilities of an agency include, but are not limited to, use of stationery, postage, machines, and equipment, use of state employees of the agency during working hours, vehicles, office space, publications of the agency, and clientele lists of persons served by the agency.

(2) This section shall not apply to the following activities:

(a) Action taken at an open public meeting by members of an elected legislative body to express a collective decision, or to actually vote upon a motion, proposal, resolution, order, or ordinance, or to support or oppose a ballot proposition as long as (i) required notice of the meeting includes the title and number of the ballot proposition, and (ii) members of the legislative body or members of the public are afforded an approximately equal opportunity for the expression of an opposing view;

(b) A statement by an elected official in support of or in opposition to any ballot proposition at an open press conference or in response to a specific inquiry. For the purposes of this subsection, it is not a violation of the section for an elected official to respond to an inquiry regarding a ballot proposition, to make incidental remarks concerning a ballot proposition in an official communication, or otherwise comment on a ballot proposition without an actual, measurable expenditure of public funds. The ethics boards shall adopt by rule a definition of measurable expenditure;

(c) Activities that are part of the normal and regular conduct of the office or agency; and

(d) De minimis use of public facilities by state-wide elected officials and legislators incidental to the preparation or delivery of permissible communications, including written and verbal communications initiated by them of their views on ballot propositions that foreseeably may affect a matter that falls within their constitutional or statutory responsibilities.

(3) As to state officers and employees, this section operates to the exclusion of RCW 42.17.130.

# The Supplement Page

The F-1 Supplement is used for disclosing the following information:

- Relationships that you and your family members had with businesses, organizations, associations, unions, governmental bodies and the like that could potentially impact the decisions you make as a public official. You will be asked to identify the entity, give the nature of your (or their) involvement with it, list any payments it has received from the government unit where you seek or hold office, identify other clients or customers of the entity who paid it compensation of over \$7,500, and show the entity's real estate holdings.
- Any state-level lobbying you and your immediate family may have undertaken for compensation (other than in your official governmental capacity).
- Any reportable gifts of food and beverages costing over \$50, travel or educational benefits you and/or your immediate family members received.

## A. Offices Held, Business Interests

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**Excerpt from Statute.** RCW 42.17.241(1)(d) & (g) require you to show: "Every public or private office, directorship and position as trustee held," and

"The name of any corporation, partnership, joint venture, association, union, or other entity in which is held any office, directorship, or any general partnership interest, or any ownership interest of ten percent or more; the name or title of that office, directorship, or partnership; the nature of the ownership interest. . ."

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**Explanation.** The first step is to write down the names of every trusteeship held and of every corporation, business, partnership, club, labor union, association, government body and the like that you or your immediate family members were officers or directors of, general partners in, or had a 10% or more financial interest in, during the reporting period. You will have to complete Part A of the Supplement Page for each name on your list. (If there are eight names on your list, you'll need four supplement forms because there is space for two entities on each form.)

When you're making your list, keep in mind that:

- this disclosure requirement applies to both public and private entities, including "for profit" and "not for profit" organizations;
- if you or a family member was an officer, director or trustee of an organization (entity), include it even if you did not have an ownership interest in it (see discussion of "corporate officer" below);
- membership in an organization does not trigger reporting unless you also held an office or had an ownership interest of 10% or more;
- you will not include on your list an elected public office you held during the reporting period; however, you will include an elected office held by your spouse (or other immediate family member).

**Corporate Officer:** Some corporations, including banks and other financial institutions, use various titles (particularly vice president) to denote managerial positions. These "titled" managers have no corporate officer status within the organization and are not subject to Part A of the Supplement.

A filer would only have to report as a corporate officer - and disclose financial information about the corporation -- if he or she held one of the offices described in the corporation's bylaws. However, if the officer was excluded, by resolution of the board of directors or by the bylaws, from participation in the corporation's major policy making functions and the officer did not actually participate in these functions, then he or she does not have to report the corporation's activity.

Listed below are some of the more common entities for which you'll have to file the Supplement Page:

- sole proprietor business
- general partnerships
- political organizations, including political parties (if officer or director)
- fraternal organizations (if officer or director)
- charitable organizations (if officer or on board of directors)
- corporations (if corporate officer, on board of directors or 10% or more owner)
- religious organizations (if officer or director)
- real estate partnerships (if officer, general partner or 10% or more owner)
- labor unions (if officer)

- government boards or bodies (if you or family member were an officer or director, whether by appointment or election)
- community clubs (if officer or on board of directors)
- trusts of which you/family member were a trustee

Once you determine which entities you have a legal obligation to disclose information about, the discussion below will help you fill out the Supplement.

## Identification of Entity

The initial information requested on the Supplement Page is straightforward. You are asked to state:

- the entity's legal name (as found on legal documents establishing the entity);
- the entity's operating or "doing business as" name if different from the legal name;
- whether you, your spouse, or dependent (or a combination thereof) had the relationship with the entity that triggers this report;
- the office held with the entity or the percent of ownership held (or both);
- a brief description of the entity's purpose, or of the products or services provided by it.

See F-1 Supplement examples on pages 18-21.

## Payments Entity Received From Government Unit in Which You Seek/Hold Office (No Minimum Amount)

**Excerpt from Statute.** According to RCW 42.17.241(1)(g)(i), "With respect to a governmental unit in which the official seeks or holds any office or position, if such entity has received compensation in any form during the preceding twelve months from such governmental unit, the value of such compensation and the consideration given or performed in exchange for such compensation;"

**Explanation.** This means that if the governmental unit in which you hold office or for which you're running has paid compensation to or purchased goods or services from the entity you're reporting for, you need to disclose the purpose of the payment and the **actual amount** received by the entity from the government unit during the reporting period.

Remember, "compensation" means payment in any form for any real or personal property or services.

The following items are typically reported:

- retail goods and other supplies sold to government agencies
- goods sold through open competitive bids
- repair and maintenance contracts
- gasoline or fuel sales
- interest or service payments on bonds or loans,
- contracts, retainers
- temporary services
- insurance purchases by government unit
- commission payments received by entity because of sale of goods or services to government unit

Note: These instructions should not be taken as authorizing business activities between a person and a governmental body that are otherwise prohibited by local or state law.

## Payments Entity Received From Business and Government Customers (if \$7,500 or more)

**Excerpt from Statute.** RCW 42.17.241(1)(g)(ii) requires the reporting of: "The name of each governmental unit, corporation, partnership, joint venture, sole proprietorship, association, union, or other business or commercial entity from which such entity has received compensation in any form in the amount of seven thousand five hundred dollars or more during the preceding twelve months and the consideration given or performed in exchange for such compensation: Provided, That the term "compensation" for purposes of this subsection shall not include payment for water and other utility services at rates approved by the Washington state utilities and transportation commission or the legislative authority of the public entity providing such service;"

"Provided, further, That with respect to any bank or commercial lending institution in which is held any such office, directorship, partnership interest, or ownership interest, it shall only be necessary to report either the name, address and occupation of every director and officer of such bank or commercial lending institution and the average monthly balance of each account held during the preceding twelve months by such bank or commercial lending institution from the governmental entity for which the individual is an official or candidate or professional staff member, or all interest paid by a borrower on loans from and all interest paid to a depository by such bank or commercial lending institution if such interest exceeds eighteen hundred dollars;"

**Explanation.** The first paragraph quoted above requires you to identify all business and government customers that, during the reporting period, paid \$7,500 or more in the aggregate for services or products provided by the entity you're reporting about on this Supplement Page. Include the names of any government agency (other than the one in which you seek or hold office), corporation, partnership, joint venture, sole proprietorship, association, union or other business if they meet or exceed the \$7,500 reporting threshold.

Be sure to report the name and address of each business or government agency for which a service was rendered or to which a product was sold that resulted in a commission of \$7,500 or more in the aggregate to the entity for which you are reporting.

**Do not list payments received from individuals acting in a private rather than a business capacity.** A doctor, for example, would not disclose the names of individual patients who paid his or her medical corporation \$7,500 or more; nor would this doctor include the names of insurance companies paying on behalf of patients. He or she would, however, report the names of employers that paid fees for employee medical services and the names of hospitals that compensated the medical corporation. Similarly, lawyers, farmers and other business people would not list "individual" customers, but would disclose their business, corporate and government clients.

Do not include gifts or grants of \$7,500 or more the entity may have received from a foundation, business or governmental agency. These charitable contributions do not constitute "compensation" and are not reportable.

You'll note from the form that you don't need to state a Dollar Code or an actual dollar amount. However, you do need to briefly describe what services or products the entity you're reporting about provided in order to earn the compensation.

## **Banks and Other Lending Institutions**

If you or a family member had an ownership interest in a bank or lending institution, or you were a director or corporate officer of one (see discussion of corporate officer above), the second paragraph of the statutory excerpt above applies to you.

Essentially, the law says that, for banks and other lending institutions, you don't have to supply a list of all major commercial or governmental customers. Rather, you can do one of the following:

- provide the name, address and occupation of each officer or director of the institution as well as the average monthly balance of each account held during the previous year by the government body in which you hold office (whether elected or appointed) or for which you're running; OR
- provide the total amount of interest paid by each borrower who paid over \$1,800 in interest and the total amount of interest paid to each depositor who received over \$1,800 in interest during the previous year.

See F-1 Supplement examples on pages 18-21.

## **Business Real Estate**

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**Excerpt from Statute.** RCW 42.17.241(1)(k) requires: "A list, including legal or other sufficient descriptions as prescribed by the commission, of all real property in the state of Washington, the assessed valuation of which exceeds fifteen thousand dollars, in which a corporation, partnership, firm, enterprise, or other entity had a direct financial interest, in which corporation, partnership, firm or enterprise a ten percent or greater ownership interest was held;"

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**Explanation.** This means that if you or an immediate family member owned a 10% or more interest in the entity for which you're reporting and that entity in turn owned Washington real estate assessed at over \$15,000, you need to disclose that fact. For each parcel assessed at over \$15,000, show the property's street address. If there is no street address, show the assessor's parcel number, the abbreviated legal description included on property tax notices, or the complete legal description.

**If you were an officer or director of an entity, but did not own 10% or more of it or its stock, you are not required to list real estate owned by the entity.**

Reportable property includes:

- rental houses, apartment buildings
- store buildings, office buildings
- plant sites, warehouses
- farmland owned by family corporation
- property leased to others
- property on which the entity had an option to purchase
- mineral rights owned or held by the entity

Howard M. Johnson is Mayor of the City of Anywhere and President and part owner, with his three brothers, of the family farm corporation. During the reporting period, the farm had both wholesale and retail customers, a contract with the city's Corrections Department (which did not require the Mayor's approval), and business customers that paid it over \$7,500. The corporation also owned the farmland.



**PUBLIC DISCLOSURE COMMISSION**  
 711 CAPITOL WAY RM 206  
 PO BOX 40908  
 OLYMPIA WA 98504-0908  
 (360) 753-1111  
 TOLL FREE 1-877-601-2828

PDC FORM

**F-1**

SUPPLEMENT  
(9/02)

**SUPPLEMENT PAGE**  
**PERSONAL FINANCIAL AFFAIRS STATEMENT**

**PROVIDE INFORMATION FOR YOURSELF, SPOUSE, DEPENDENT CHILDREN AND OTHER DEPENDENTS IN YOUR HOUSEHOLD**

Last Name Johnson	First Howard	Middle Initial M.	DATE March 13, 200X
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**A**

**OFFICE HELD,  
BUSINESS  
INTERESTS:**

For each corporation, non-profit organization, association, union, partnership, joint venture or other entity in which you, your spouse or dependents are an officer, director, general partner, trustee, or 10 percent or more owner -- provide the following information:

- Legal Name: Report name used on legal documents establishing the entity.
- Trade or Operating Name: Report name used for business purposes if different from the legal name.
- Position or Percent of Ownership: The office, title and/or percent of ownership held.
- Brief Description of the Business/Organization: Report the purpose, product(s), and/or the service(s) rendered.
- Payments from Governmental Unit: If the governmental unit in which you hold or seek office made payments to the business entity concerning which you're reporting, show the purpose of each payment and the actual amount received.
- Payments from Business Customers and Other Government Agencies: List each corporation, partnership, joint venture, sole proprietorship, union, association, business or other commercial entity and each government agency (other than the one you seek/hold office) which paid compensation of \$7,500 or more during the period to the entity. Briefly say what property, goods, services or other consideration was given or performed for the compensation.
- Washington Real Estate: Identify real estate owned by the business entity if the qualifications referenced below are met.

**ENTITY NO. 1**

Reporting For: Self ☒ Spouse ☐ Dependent ☐

LEGAL NAME: **Valley View Agricultural Company**

POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME: **Valley Farm**

**President; 25% owner**

ADDRESS: **Rt. 1, Box 100  
Anywhere, WA 98500**

**BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:**

**Family farm owned equally with brothers. Grow fruits and vegetables for wholesale and retail sales.**

**PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:**

Purpose of payments

Amount (actual dollars)

**Purchase fresh fruits (contract with Anywhere City Jail)**

**\$ 6,477.88**

**PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:**

Customer name:

Purpose of payment (amount not required)

**Valley Coop, Anywhere, WA  
Safefood Grocery, Tacoma, WA  
Mercy Hospital Corp., Spokane, WA**

**Purchase Fruit  
Purchase Vegetables  
Purchase Vegetables**

WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

**Parcel Numbers in Graceland County: 473117226079, 473418051265  
Parcels in Mountain County: 03468209110, 36901748222**

Check here ☐ if continued on attached sheet



David C. Jones is a member of the State Gambling Commission. During the reporting period, his wife was an officer and 30% owner of the local office supply store. The Gambling Commission did not buy any products or services from the store. The supply store did sell over \$7,500 worth of merchandise to commercial and governmental customers during the reporting period. His wife's corporation owned the supply store property as well as the adjacent parking lot.

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**PDC FORM**  
**F-1**  
**SUPPLEMENT**  
**(9/02)**

**SUPPLEMENT PAGE**  
**PERSONAL FINANCIAL AFFAIRS STATEMENT**

**PROVIDE INFORMATION FOR YOURSELF, SPOUSE, DEPENDENT CHILDREN AND OTHER DEPENDENTS IN YOUR HOUSEHOLD**

Last Name Jones	First David	Middle Initial C.	DATE January 27, 200X
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- A OFFICE HELD, BUSINESS INTERESTS:** For each corporation, non-profit organization, association, union, partnership, joint venture or other entity in which you, your spouse or dependents are an officer, director, general partner, trustee, or 10 percent or more owner -- provide the following information:
- Legal Name: Report name used on legal documents establishing the entity.
  - Trade or Operating Name: Report name used for business purposes if different from the legal name.
  - Position or Percent of Ownership: The office, title and/or percent of ownership held.
  - Brief Description of the Business/Organization: Report the purpose, product(s), and/or the service(s) rendered.
  - Payments from Governmental Unit: If the governmental unit in which you hold or seek office made payments to the business entity concerning which you're reporting, show the purpose of each payment and the actual amount received.
  - Payments from Business Customers and Other Government Agencies: List each corporation, partnership, joint venture, sole proprietorship, union, association, business or other commercial entity and each government agency (other than the one you seek/hold office) which paid compensation of \$7,500 or more during the period to the entity. Briefly say what property, goods, services or other consideration was given or performed for the compensation.
  - Washington Real Estate: Identify real estate owned by the business entity if the qualifications referenced below are met.

**ENTITY NO. 1**

Reporting For: Self ☐ Spouse ☒ Dependent ☐

LEGAL NAME: **A.C. Jones & Co., Inc. DBA**

POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME: **Quality Office Supply**

**Executive Vice President; 30% Owner**

ADDRESS: **1234 Wall Street  
Anywhere, WA 98500**

BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:

**Sale of office furniture, machines and supplies.**

PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:

Purpose of payments

Amount (actual dollars)

**None**

**\$**

PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:

Customer name:

Purpose of payment (amount not required)

**Humble, Humble & Homer Law Firm, Anywhere, WA  
State of WA, Public Disclosure Commission, Olympia, WA  
Anywhere Gas & Electric Co., Anywhere, WA**

**Furniture  
Computer purchase  
Furniture, Office supplies**

WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

**Building at 1234 Wall Street, Anywhere, WA  
Parking Lot: Parcel No. 23478920113, Graceland County**

Check here ☐ if continued on attached sheet

Mary Kay Smith is a member of the Central City School Board. During the reporting period, she also served as general partner and 9% owner of Smith and Kerns Real Estate Company. The real estate company owned, during the reporting period, several parcels of undeveloped land and three lots with buildings on them. The company earned over \$7,500 from four business customers.



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PDC FORM

**F-1**

SUPPLEMENT  
(9/02)

**SUPPLEMENT PAGE**  
**PERSONAL FINANCIAL AFFAIRS STATEMENT**

**PROVIDE INFORMATION FOR YOURSELF, SPOUSE, DEPENDENT CHILDREN AND OTHER DEPENDENTS IN YOUR HOUSEHOLD**

Last Name Smith	First Mary Kay	Middle Initial L.	DATE February 27, 200X
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**A**

**OFFICE HELD,  
BUSINESS  
INTERESTS:**

For each corporation, non-profit organization, association, union, partnership, joint venture or other entity in which you, your spouse or dependents are an officer, director, general partner, trustee, or 10 percent or more owner -- provide the following information:

- Legal Name: Report name used on legal documents establishing the entity.
- Trade or Operating Name: Report name used for business purposes if different from the legal name.
- Position or Percent of Ownership: The office, title and/or percent of ownership held.
- Brief Description of the Business/Organization: Report the purpose, product(s), and/or the service(s) rendered.
- Payments from Governmental Unit: If the governmental unit in which you hold or seek office made payments to the business entity concerning which you're reporting, show the purpose of each payment and the actual amount received.
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- Washington Real Estate: Identify real estate owned by the business entity if the qualifications referenced below are met.

**ENTITY NO. 1**

Reporting For: Self ☒ Spouse ☐ Dependent ☐

LEGAL NAME: **Smith and Kerns Partnership**

POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME: **Smith and Kerns Real Estate**

**General partner; 9%**

ADDRESS: **456 Land Avenue  
Central City, WA 98500**

**BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:**

**Real estate brokerage partnership with Steven P. Kerns & Mathew W. Smith (father)**

**PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:**

Purpose of payments

Amount (actual dollars)

**None**

**\$**

**PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:**

Customer name:

Purpose of payment (amount not required)

**ABC Construction Co., Central City, WA  
SafeFood Stores Inc., Spokane, WA  
Trademark Building Co., Tacoma, WA  
Far View Development Co., Anywhere, WA**

**Commission on lots sold  
Land sale  
Commission on office space rent  
100 shares of stock in lieu of  
Cash payment for land sale**


WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

**None reportable (since only 9% ownership interest)**

Check here ☐ if continued on attached sheet

**CONTINUE PARTS B AND C ON NEXT PAGE**

Terry Thomas recently announced he's a candidate for the State Legislature. [Thomas filed his campaign disclosure registration (Form C-1) in a timely manner.] Thomas is a partner with the Earnest, Goode, Smart & Eager law firm. This firm served as a consultant to a legislative committee in March of last year. Earnest, Goode, Smart & Eager specializes in criminal defense law, but did have a few commercial and governmental clients. Since Thomas is a partner in the firm, he must report the names of the commercial and governmental clients that paid the firm over \$7,500 during the reporting period.

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**PDC FORM**  
**F-1**  
**SUPPLEMENT**  
**(9/02)**

**SUPPLEMENT PAGE**  
**PERSONAL FINANCIAL AFFAIRS STATEMENT**

**PROVIDE INFORMATION FOR YOURSELF, SPOUSE, DEPENDENT CHILDREN AND OTHER DEPENDENTS IN YOUR HOUSEHOLD**

Last Name <b>Thomas</b>	First <b>Terry</b>	Middle Initial <b>C.</b>	DATE <b>January 30, 200X</b>
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- A OFFICE HELD, BUSINESS INTERESTS:** For each corporation, non-profit organization, association, union, partnership, joint venture or other entity in which you, your spouse or dependents are an officer, director, general partner, trustee, or 10 percent or more owner -- provide the following information:
- Legal Name: Report name used on legal documents establishing the entity.
  - Trade or Operating Name: Report name used for business purposes if different from the legal name.
  - Position or Percent of Ownership: The office, title and/or percent of ownership held.
  - Brief Description of the Business/Organization: Report the purpose, product(s), and/or the service(s) rendered.
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  - Washington Real Estate: Identify real estate owned by the business entity if the qualifications referenced below are met.

**ENTITY NO. 1**

Reporting For: Self ☒ Spouse ☐ Dependent ☐

LEGAL NAME: **Earnest, Goode, Smart & Eager, P.C.**

POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME: **Same**

**Partner; 31/2%**

ADDRESS: **1111 Park Avenue  
Hometown, WA 99400**

BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:

**Legal Firm**

PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:

Purpose of payments

Amount (actual dollars)

**Legislative Committee Consultation**

**\$ 12,650**

PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:

Customer name:

Purpose of payment (amount not required)

**XYZ Labor Union  
ABC Corporation  
Toddler's Disposable Diaper Company  
City of Hometown  
Mom & Pop Corner Grocery**

**Contract Mediation services  
Contract Mediation services  
Legislative Lobbying services  
Legal Fees  
Legal Services**

WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

**None reportable (under 10% ownership interest)**

Check here ☐ if continued on attached sheet

**CONTINUE PARTS B AND C ON NEXT PAGE**

## B. Lobbying

**Excerpt from Statute.** RCW 42.17.241(1)(e) requires you to name: "All persons for whom any legislation, rule, rate, or standard has been prepared, promoted, or opposed for current or deferred compensation: Provided, That for the purposes of this subsection, "compensation" does not include payments made to the person reporting by the governmental entity for which such person serves as an elected official or state executive officer or professional staff member for his service in office; the description of such actual or proposed legislation, rules, rates, or standards; and the amount of current or deferred compensation paid or promised to be paid;"

**Explanation.** You complete this part of the form if, during the reporting period, you or a family member prepared, promoted, opposed or drafted legislation or changes to state agency rules, rates or standards and you or they were paid or were promised payment for your efforts. If this section applies, provide:

- the name of the person, organization or business on whose behalf the work was done;

- a description of the legislation or rule; and
- the Dollar Code that reflects the amount paid or promised.

If you or a family member was employed by, or an officer of, a government agency and you or they prepared, promoted or opposed legislation or rules as part of your normal duties, this activity does not need to be reported on the F-1 Supplement. (However, this kind of lobbying activity on behalf of government agencies should be reported to the agency's administrative officer because it may have to be reported by the agency on its quarterly lobbying report.)

Typically reported in this Supplement section are:

- travel payments
- salary for time spent lobbying
- payments for meals and accommodations
- legal fees paid for lobbying-related services
- reimbursements for lobbying-related entertainment, travel or educational benefits provided to legislators or other state officials or employees.

<b>B</b>	<b>LOBBYING:</b>	List persons for whom you or any immediate family member lobbied or prepared state legislation or state rules, rates or standards for current or deferred compensation. Do not list pay from government body in which you are an elected official or professional staff member.	
	Person to Whom Services Rendered	Description of Legislation, Rules, Etc.	Compensation (Use Code)
	ABC Contracting, Inc. General Contractors Assn.	HB 501 (building standards) Increase budget provision for highway improvements	B D
Check here <input type="checkbox"/> if continued on attached sheet			

**The Remainder of These Instructions Applies Only to State and Local Elected Officials and Executive State Officers Filing Annual F-1 Reports**

## C. Food, Travel, Seminars

The gift reporting provisions of the disclosure law were amended by Chapter 397, 1995 Session Laws. Based on this change in law, **filers are only required to disclose three types of items** they and their immediate family members receive from others: **food and beverages costing over \$50 per occasion, travel excursions, and seminars, educational programs or other training.** However, there are six circumstances under which these items are not reportable. For example, if a state or local elected official also had other employment and his or her employer paid for travel related to that job, the official would not report receiving this travel. See page 24 for more information about these exemptions.

Also note that if officials or their family members paid for their own food, beverages, travel or training, the expenditures are not reported. The point of this type of disclosure is to shed light on expenditures made by persons who may be attempting to influence the governmental decisions made by public officials.

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**Excerpt from Statute.** RCW 42.17.241(1)(l) calls for: "A list of each occasion, specifying date, donor, and amount, at which food and beverage in excess of fifty dollars was accepted under RCW 42.52.150(5);"

RCW 42.52.150(5) says: "A state officer or state employee may accept gifts in the form of food and beverage on infrequent occasions in the ordinary course of meals where attendance by the officer or employee is related to the performance of official duties. Gifts in the form of food and beverage that exceed fifty dollars on a single occasion shall be reported as provided in chapter 42.17 RCW."

Further, RCW 42.17.241(1)(m) requires: "A list of each occasion, specifying date, donor, and amount, at which items specified in RCW 42.52.010(10)(d) and (f) were accepted."

RCW 42.52.010(10)(d) says: "Payments by a governmental or nongovernmental entity of reasonable expenses incurred in connection with a speech, presentation, appearance, or trade mission made in an official capacity. As used in this subsection, 'reasonable expenses' are limited to travel, lodging and subsistence expenses incurred the day before through the day after the event."

RCW 42.52.010(10)(f) says: "Payment of enrollment and course fees and reasonable travel expenses

attributable to attending seminars and educational programs sponsored by a bona fide nonprofit, professional, educational, or trade association, or charitable institution. As used in this subsection, 'reasonable expenses' are limited to travel, lodging, and subsistence expenses incurred the day before through the day after the event."

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**Explanation.** The above quoted provisions of chapter 42.52 RCW, the State Ethics Law, speak to three classifications of items that most state officials and employees may accept from donors. However, at its meeting on December 5, 1995, the Public Disclosure Commission determined that having local officials also report receipt of these types of items was consistent with the purposes of the disclosure law.

Therefore, the Commission adopted reporting forms that require local elected officials, state elected officials, executive state officers and any appointees to these positions who are filing their annual personal financial affairs statement to disclose all:

- 1) food and beverages costing over \$50 per occasion,
- 2) travel occasions, or
- 3) seminars, course fees, educational programs or other training

that were paid for or otherwise provided, in whole or in part, to you, your spouse or dependents, or a combination thereof, by a source other than yourself or your own governmental agency (unless one of the exemptions discussed below applies).

As such, the qualifiers in RCW 42.52.010(10)(d) and (f) cited above are not relevant when reporting items received. That is, if travel expenses were received beyond what these statutes refer to as "reasonable expenses," the entire amount received for travel is nonetheless reported. And, if some person or entity other than a bona fide nonprofit, professional, educational or trade association or charitable institution has paid for educational fees and travel expenses, the actual source of the payment must be reported. [These reporting requirements do not constitute authority to accept any item or benefit not permitted by the State Ethics law or any applicable local ethics ordinance.]

When reporting food/beverages, travel, field trips and other excursions, or educational occasions provided at least in part by some source other than you or your governmental agency,

- identify the date you and/or your family received the item,
- show the donor's name, city and state,
- give a brief description of the event, and
- provide the actual dollar amount for the occasion that benefited you and/or your family members and also note the amount code of the range in which the amount falls.

**Reporting Full Value:** When determining whether a food and beverage occasion costs over \$50 and needs to be reported on the Supplement or F-1A report, calculate whether the original cost of all food and beverages provided to you and/or your family members totaled in excess of \$50. If so, the occasion is reportable (unless one of the exemptions below is satisfied) even if you paid a portion of the costs attributable to you. For example, if a lobbyist spends \$60 for your dinner and you give him or her \$10 (perhaps thinking that this would mean the dinner would fall below the reporting threshold), you still need to report receipt of this dinner valued at \$60. You may note on the form that you reimbursed the lobbyist \$10 if you wish. The occasion would NOT be reportable only if you paid the full value of the benefit realized by you and/or your family members. In the above example, that's the entire \$60.

When reporting the value of travel occasions, include the full value of any transportation, meals, lodging, entertainment, and other miscellaneous items or services paid for or otherwise provided to you and your family in connection with the event.

When reporting the value of seminars or other training, report the standard admission fee or, if there is no such fee, the pro rated cost of the seminar or training attributable to you. To compute this cost, divide the full cost of holding the event by the number of persons who were expected to attend. Multiply this amount by the number of your family members who attended. That is, multiply by two if you and your spouse attended.

Examples of reportable items received:

- free admission to a seminar at which other attendees pay an admission fee (unless you are a speaker, panelist or have some other significant, official role at the event);

- all transportation, lodging, meals and other expenditures associated with an official and spouse attending a conference as the guests of a trade association;
- dinner attended by an official and the value of the food and beverages attributable to the official exceeds \$50; and
- a corporation provides several members of a legislative committee, as well as staff, with lunch and an aerial tour of its facility; each official and employee will report his or her pro-rated share of the value of this occasion.

If an employee or official held positions in two or more public agencies during the reporting period, either agency could pay for food and beverages, travel or training without the employee or official having to report receipt of the item. For example, an elected county sheriff also serves on a state commission. If this state commission pays for the sheriff's travel expenses to and from meetings, these expenditures are not reportable by the sheriff.

**Exemptions:** There are six circumstances where an otherwise reportable food, travel or educational occasion is exempt from reporting:

- 1) It came from family members or friends where it is clear beyond a reasonable doubt that it was not given as part of any design to gain or maintain influence;
- 2) It is related to your or an immediate family member's outside business and is customary and not related to your performance as a public official;
- 3) It is part of an exchange among officials and employees;
- 4) The occasion is a social event hosted or sponsored by a coworker;
- 5) Any food, travel or education fee discount made available to you or your family members was also available to other members of the broad-based group to which you or they belonged; and
- 6) You or a family member returned the item to the donor within 30 days of receipt or gave it to a charitable organization within 30 days of receipt.

## Attribution of Items Received by Family Members:

As has been noted throughout this section, any reportable items or occasions received by your spouse or dependents are attributable to and reportable by you, unless the occasion is exempt from reporting as described above (or if an independent business, family or social relationship exists between the donor and your spouse or family member).

**Notice From Lobbyists:** Persons who lobby at the state level and who give a reportable item to a state elected official or the official's family member are required to provide that official with a copy of their monthly lobbying report (Form L-2 or the Memo Report) disclosing information about the occasion, including cost. Although receipt of reportable items from any non-exempt source is reportable by you, state-level lobbyists are the only persons required by law to supply notice. **You have the ultimate responsibility to make sure that your disclosure statement shows each reportable item you or an immediate family member received.**

<b>C FOOD TRAVEL SEMINARS</b> Complete this section if a source other than your own governmental agency paid for or otherwise provided all or a portion of the following items to you, your spouse or dependents, or a combination thereof: 1) Food and beverages costing over \$50 per occasion; 2) Travel occasions; or 3) Seminars, educational programs or other training.				
Date Received	Donor's Name, City and State	Brief Description	Actual Dollar Amount	Value (Use Code)
3/22/0X	XYZ Paper Co, Tacoma, WA	Dinner (self & spouse) Four Seasons, Seattle	\$ 150	A
6/13-15/0X	Gizmo Manufacturing Assn. Denver, CO	Plant Tour & Speaker at annual meeting in Denver	1,200	A
9/7/0X	Best Union, Seattle, WA	Seminar on Bargaining	250	A

Check here ☐ if continued on attached sheet

# Electronic Filing Instructions

## Step by Step Instructions on How to Electronically File a Personal Financial Affairs Statement

Minimum system requirements for Macintosh & Windows compatible PC's			
	<a href="#">Adobe Acrobat</a>	<a href="#">Internet Explorer</a>	<a href="#">Netscape</a>
Windows PC	5.0x or higher	5.0x or higher	4.7x or higher
Macintosh	5.0x or higher	5.5x or higher	4.7x or higher

To electronically file, go to the PDC web page at [www.pdc.wa.gov](http://www.pdc.wa.gov) and select the following:

- Click – Electronic Filing
- If a returning filer, Login with Filer ID and Password
- If new filer, Click – Personal Financial Affairs Filer
- Click – Previous Filer or New Filer (If someone has filed an F-1 with PDC, select “previous Filer”).
- Complete the personal information template (starred items are mandatory) and create a password. Print, sign and mail the signature authorization and password identification form to the PDC at PO Box 40908, Olympia, WA 98504-0908.

At this point a temporary identification number has been assigned and filers can continue to fill out the F-1 template for electronic filing. Once the template is completed, filers need to print a copy of the report for their records using the adobe acrobat print button.

The PDC will hold the filer's electronically submitted report until the completed signature authorization and password identification form is received by the agency. A permanent Filer ID number will be e-mailed upon receipt of signature authorization and password.

First time electronic filers **MUST** initially submit a full F-1 report and F-1 Supplement, if necessary, even if the filer has a full report currently on file. Next year, the electronic report will automatically fill in the information previously submitted and changes to the report can be made on-line for purposes of submitting that year's report.

Please contact the PDC with questions about Electronic Filing of Personal Financial Affairs Statements at (360) 753-1111 or toll free at 1-877-601-2828.



**PDC FORM**  
**F-1**  
 (11/00)

**PERSONAL FINANCIAL  
 AFFAIRS STATEMENT**

P M PDC OFFICE USE  
 O A  
 S R  
 T K

Refer to instruction manual for detailed assistance and examples.

**Deadlines:** Incumbent elected and appointed officials -- by April 15.  
 Candidates and others -- within two weeks of becoming a  
 candidate or being newly appointed to a position.

**SEND REPORT TO PUBLIC DISCLOSURE COMMISSION**

DOLLAR CODE	AMOUNT
A	\$1 to \$2,999
B	\$3,000 to \$14,999
C	\$15,000 to \$29,999
D	\$30,000 to \$74,999
E	\$75,000 or more

R  
E  
C  
E  
I  
V  
E  
D

Last Name First Middle Initial

Names of immediate family members. If there is no reportable information to disclose for dependent children, or other dependents living in your household, do not identify them. Do identify your spouse. See F-1 manual for details.

Mailing Address (Use PO Box or Work Address)

City County Zip + 4

**Filing Status (Check only one box.)**

- ☐ An elected or state appointed official filing annual report  
☐ Final report as an elected official. Term expired: \_\_\_\_\_  
☐ Candidate running in an election: month \_\_\_\_\_ year \_\_\_\_\_  
☐ Newly appointed to an elective office  
☐ Newly appointed to a state appointive office

**Office Held or Sought**

Office title: \_\_\_\_\_  
 County, city, district or agency of the office,  
 name and number: \_\_\_\_\_  
 Position number: \_\_\_\_\_  
 Term begins: \_\_\_\_\_ ends: \_\_\_\_\_

**1**

**INCOME**

List each employer, or other source of income (pension, social security, legal judgment) from which you or a family member received \$1,500 or more during the period. (Report interest and dividends in Item 3 on reverse)

Show Self (S)  
 Spouse (SP)  
 Dependent (D)

Name and Address of Employer or Source of Compensation	Occupation or How Compensation Was Earned	Amount: (Use Code)

Check Here ☐ if continued on attached sheet

**2**

**REAL ESTATE**

List street address, assessor's parcel number, or legal description AND county for each parcel of Washington real estate with value of over \$7,500 in which you or a family member held a personal financial interest during the reporting period. (Show partnership, company, etc. real estate on F-1 supplement.)

Property Sold or Interest Divested	Assessed Value (Use Code)	Name and Address of Purchaser	Nature and Amount (Use Code) of Payment or Consideration Received
Property Purchased or Interest Acquired		Creditor's Name/Address	Payment Terms
		Security Given	Mortgage Amount - (Use Code) Original Current
All Other Property Entirely or Partially Owned			
Check here <input type="checkbox"/> if continued on attached sheet			

**CONTINUE ON NEXT PAGE**

List bank and savings accounts, insurance policies, stock, bonds and other intangible property held during the reporting period.

A. Name and address of each bank or financial institution in which you or a family member had an account over \$15,000 any time during the report period.	Type of Account or Description of Asset	Asset Value (Use Code)	Income Amount (Use Code)
B. Name and address of each insurance company where you or a family member had a policy with a cash or loan value over \$15,000 during the period.			
C. Name and address of each company, association, government agency, etc. in which you or a family member owned or had a financial interest worth over \$1,500. Include stocks, bonds, ownership, retirement plan, IRA, notes, and other intangible property.			

Check here ☐ if continued on attached sheet.

List each creditor you or a family member owed \$1,500 or more any time during the period. Don't include retail charge accounts, credit cards, or mortgages or real estate reported in Item 2.

Creditor's Name and Address	Terms of Payment	Security Given	Original	Present
<p>Check here <input type="checkbox"/> if continued on attached sheet.</p>				

All filers answer questions A thru D below. If the answer is YES to any of these questions, the F-1 Supplement must also be completed as part of this report. If all answers are NO and you are a candidate for state or local office, an appointee to a vacant elective office, or a state executive officer filing your initial report, no F-1 Supplement is required.

**Incumbent elected officials and state executive officers filing an annual financial affairs report also must answer question E. An F-1 Supplement is required of these officeholders unless all answers to questions A thru E are NO.**

A. Were you, your spouse or dependents an officer, director, general partner or trustee of any corporation, company, union, association, joint venture or other entity at any time during the reporting period? \_\_\_\_ If yes, complete Supplement, Part A.

B. Did you, your spouse or dependents have an ownership of 10% or more in any company, corporation, partnership, joint venture or other business at any time during the reporting period? \_\_\_\_ If yes, complete Supplement, Part A.

C. Did you, your spouse or dependents own a business at any time during the reporting period? \_\_\_\_ If yes, complete Supplement, Part A.

D. Did you, your spouse or dependents prepare, promote or oppose state legislation, rules, rates or standards for current or deferred compensation (other than pay for a currently-held public office) at any time during the reporting period? \_\_\_\_ If yes, complete Supplement, Part B.

E. **Only for Persons Filing Annual Report.** Regarding the receipt of items not provided or paid for by your governmental agency during the previous calendar year: 1) Did you, your spouse or dependents (or any combination thereof) accept a gift of food or beverages costing over \$50 per occasion? \_\_\_\_ or 2) Did any source other than your governmental agency provide or pay in whole or in part for you, your spouse and/or dependents to travel or to attend a seminar or other training? \_\_\_\_ If yes to either or both questions, complete Supplement, Part C.

<p><b>ALL FILERS EXCEPT CANDIDATES.</b> Check the appropriate box.</p> <p><input type="checkbox"/> I hold a state elected office or am an executive state officer. I have read and am familiar with RCW 42.52.180 regarding the use of public resources in campaigns.</p> <p><input type="checkbox"/> I hold a local elected office. I have read and am familiar with RCW 42.17.130 regarding the use of public facilities in campaigns.</p>	<p><b>CERTIFICATION:</b> I certify under penalty of perjury that the information contained in this report is true and correct to the best of my knowledge.</p> <hr/> <p>Signature _____ Date _____</p> <p>Contact Telephone: (     ) _____</p> <p>Email: _____ (work)</p> <p>Email: _____ (Home)</p>
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**REPORT NOT ACCEPTABLE WITHOUT FILER'S SIGNATURE**



PUBLIC DISCLOSURE COMMISSION

711 CAPITOL WAY RM 206  
PO BOX 40908  
OLYMPIA WA 98504-0908  
(360) 753-1111  
TOLL FREE 1-877-601-2828  
EMAIL: pdc@pdc.wa.gov

PDC FORM

**F-1**

SUPPLEMENT  
(9/02)

**SUPPLEMENT PAGE**  
**PERSONAL FINANCIAL AFFAIRS STATEMENT**

**PROVIDE INFORMATION FOR YOURSELF, SPOUSE, DEPENDENT CHILDREN AND OTHER DEPENDENTS IN YOUR HOUSEHOLD**

Last Name	First	Middle Initial	DATE
-----------	-------	----------------	------

**A**

**OFFICE HELD,  
BUSINESS  
INTERESTS:**

For each corporation, non-profit organization, association, union, partnership, joint venture or other entity in which you, your spouse or dependents are an officer, director, general partner, trustee, or 10 percent or more owner -- provide the following information:

- Legal Name: Report name used on legal documents establishing the entity.
- Trade or Operating Name: Report name used for business purposes if different from the legal name.
- Position or Percent of Ownership: The office, title and/or percent of ownership held.
- Brief Description of the Business/Organization: Report the purpose, product(s), and/or the service(s) rendered.
- Payments from Governmental Unit: If the governmental unit in which you hold or seek office made payments to the business entity concerning which you're reporting, show the purpose of each payment and the actual amount received.
- Payments from Business Customers and Other Government Agencies: List each corporation, partnership, joint venture, sole proprietorship, union, association, business or other commercial entity and each government agency (other than the one you seek/hold office) which paid compensation of \$7,500 or more during the period to the entity. Briefly say what property, goods, services or other consideration was given or performed for the compensation.
- Washington Real Estate: Identify real estate owned by the business entity if the qualifications referenced below are met.

**ENTITY NO. 1**

Reporting For: Self ☐ Spouse ☐ Dependent ☐

LEGAL NAME:

POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME:

ADDRESS:

BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:

PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:

Purpose of payments

Amount (actual dollars)

\$

PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:

Customer name:

Purpose of payment (amount not required)

WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

Check here ☐ if continued on attached sheet

**CONTINUE PARTS B AND C ON NEXT PAGE**

Name

ENTITY NO. 2

Reporting For: Self ☐ Spouse ☐ Dependent ☐

LEGAL NAME:POSITION OR PERCENT OF OWNERSHIP

TRADE OR OPERATING NAME:

ADDRESS:

BRIEF DESCRIPTION OF THE BUSINESS/ORGANIZATION:

PAYMENTS ENTITY RECEIVED FROM GOVERNMENTAL UNIT IN WHICH YOU SEEK/HOLD OFFICE:

Purpose of payments

Amount (actual dollars)

\$

PAYMENTS ENTITY RECEIVED FROM BUSINESS CUSTOMERS AND OTHER GOVERNMENT AGENCIES OVER \$7,500:

Customer name:

Purpose of payment (amount not required)

WASHINGTON REAL ESTATE IN WHICH ENTITY HELD A DIRECT FINANCIAL INTEREST (Complete only if ownership in the ENTITY is 10% or more and assessed value of property is over \$15,000. List street address, assessor parcel number, or legal description and county for each parcel):

Check here ☐ if continued on attached sheet

B

LOBBYING:

List persons for whom you or any immediate family member lobbied or prepared state legislation or state rules, rates or standards for current or deferred compensation. Do not list pay from government body in which you are an elected official or professional staff member.

Person to Whom Services Rendered	Description of Legislation, Rules, Etc.	Compensation (Use Code)
Check here <input type="checkbox"/> if continued on attached sheet		

C

FOOD TRAVEL SEMINARS

Complete this section if a source other than your own governmental agency paid for or otherwise provided all or a portion of the following items to you, your spouse or dependents, or a combination thereof: 1) Food and beverages costing over \$50 per occasion; 2) Travel occasions; or 3) Seminars, educational programs or other training.

Date Received	Donor's Name, City and State	Brief Description	Actual Dollar Amount	Value (Use Code)
			\$	
Check here <input type="checkbox"/> if continued on attached sheet				



PUBLIC DISCLOSURE COMMISSION  
711 CAPITOL WAY RM 206  
PO BOX 40908  
OLYMPIA WA 98504-0908  
(360) 753-1111  
TOLL FREE 1-877-601-2828

PDC FORM

**F-1A**  
(9/02)

**PERSONAL FINANCIAL  
AFFAIRS STATEMENT**  
Short Form

P M PDC OFFICE USE  
O A  
S R  
T K

R  
E  
C  
E  
I  
V  
E  
D

The F-1A form is designed to simplify reporting for persons who have no changes or only minor changes to an F-1 report previously filed.

**A complete F-1 form must be filed at least every four years;** an F-1A form may be used for no more than three consecutive reports.

**Deadlines:** Incumbent elected and appointed officials -- by April 15.  
Candidates and others -- within two weeks of becoming a candidate or being newly appointed to a position.

DOLLAR  
CODE

AMOUNT

A	\$1 to \$2,999
B	\$3,000 to \$14,999
C	\$15,000 to \$29,999
D	\$30,000 to \$74,999
E	\$75,000 or more

Last Name First Middle Initial

Mailing Address (Use PO Box or Work Address)

City County Zip + 4

Names of immediate family members. If there is no reportable information to disclose for dependent children, or other dependents living in your household, do not identify them. Do identify your spouse. See F-1 manual for details.

Filing Status (Check only one box.)

- ☐ An elected or state appointed official filing annual report
- ☐ Final report as an elected official. Term expired: \_\_\_\_\_ year \_\_\_\_\_
- ☐ Candidate running in an election: month \_\_\_\_\_ year \_\_\_\_\_
- ☐ Newly appointed to an elective office
- ☐ Newly appointed to a state appointive office

Office Held or Sought

Office title: \_\_\_\_\_  
County, city, district or agency of the office,  
name and number: \_\_\_\_\_  
Position number: \_\_\_\_\_  
Term begins: \_\_\_\_\_ ends: \_\_\_\_\_

Select either "No Change Report" or "Minor Change Report," whichever reflects your situation. Supply all the requested information.

- ☐ **NO CHANGE REPORT.** I have reviewed my last complete F-1 report dated \_\_\_\_\_ and F-1A reports (if any) dated (1) \_\_\_\_\_ and (2) \_\_\_\_\_. The information disclosed on those reports is accurate for the current reporting period.
- ☐ **MINOR CHANGES REPORT.** I have reviewed my last complete F-1 report dated \_\_\_\_\_. The changes listed below have occurred during the reporting period. Specify F-1 Form Item numbers describing changes. Provide all information required on F-1 report.

Check here ☐ if continued on attached sheet

**FOOD  
TRAVEL  
SEMINARS**

Complete this section if a source other than your own governmental agency paid for or otherwise provided all or a portion of the following items to you, your spouse or dependents, or a combination thereof: 1) Food and beverages costing over \$50 per occasion; 2) Travel occasions; or 3) Seminars, educational programs or other training.

Date Received	Donor's Name, City and State	Brief Description	Actual Dollar Amount	Value (Use Code)

Check here ☐ if continued on attached sheet

**ALL FILERS EXCEPT CANDIDATES.** Check the appropriate box.

- ☐ I hold a state elected office or am an executive state officer. I have read and am familiar with RCW 42.52.180 regarding the use of public resources in campaigns.
- ☐ I hold a local elected office. I have read and am familiar with RCW 42.17.130 regarding the use of public facilities in campaigns.

**CERTIFICATION:** I certify under penalty of perjury that the information contained in this report is true and correct to the best of my knowledge.

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Contact Telephone: ( ) \_\_\_\_\_  
Email: \_\_\_\_\_ (work)  
Email: \_\_\_\_\_ (Home)

**Report Not Acceptable Without Filer's Signature**

# Executive State Officers

## (State Officials Required to File Personal Financial Affairs Statements – F-1 Forms)

### January 2005

#### State Agency

Administrative Hearings, Office of  
Agriculture, Dept. of  
Attorney General, Office of  
Auditor, Office of the State  
Blind, Dept. of Services for the  
Colleges & Universities:  
    Central Washington University  
    Community Colleges  
    Eastern Washington University  
    The Evergreen State College  
    Washington State University  
    Western Washington University  
    University of Washington  
Community & Technical Colleges, State Bd for  
Community, Trade & Economic Dev., Dept. of  
Convention & Trade Center, State  
Corrections, Dept. of  
Ecology, Dept. of  
Economic Dev. Finance Authority, WA  
Employment Security Department  
Energy Facility Site Evaluation Council  
Executive Ethics Board  
Finance Committee, State  
Financial Management, Office of  
Fish & Wildlife Commission  
Fish & Wildlife, Dept. of  
Forest Practices Appeals Board  
Forest Practices Board (DNR)  
Gambling Commission  
General Administration, Dept. of  
Governor, Office of the  
Health, Department of  
Health Care Authority, WA State  
Health Care Facilities Authority  
Higher Education Coordinating Board  
Higher Education Facilities Authority  
Horse Racing Commission  
House of Representatives  
Housing Finance Commission, State  
Human Rights Commission  
Indeterminate Sentence Review Board  
Industrial Ins. Appeals, Board of  
Information Services Board  
Information Services, Dept. of

#### Officials Required to Report

Chief Administrative Law Judge  
Director  
Attorney General  
State Auditor  
Director  
  
President, Trustees  
District & Campus Pres., Trustees  
President, Trustees  
President, Trustees  
President, Regents  
President, Trustees  
President, Regents  
Director, Members  
Director  
Board of Directors  
Secretary  
Director  
Members  
Commissioner  
Chair  
Members  
Secretary  
Director  
Members  
Director  
Executive Secretary, Members  
Members  
Director, Members  
Director  
Governor, Professional staff  
Secretary  
Administrator  
Executive Secretary, Members  
Members  
Executive Secretary, Members  
Executive Secretary, Members  
Representatives, Professional staff  
Members  
Executive Secretary, Members  
Executive Secretary, Members  
Members  
Members  
Director

#### State Agency

Insurance Commissioner, Office of the  
Investment Board, State  
Judicial Conduct, Commission on  
Labor and Industries, Dept. of  
Joint Legislative Audit and Review Committee  
Legislative Ethics Board  
Legislative Eval. & Accountability Program  
Licensing, Dept. of  
Lieutenant Governor, Office of the  
Liquor Control Board  
Lottery Commission  
Maritime Commission, WA St  
Minority & Women's Bus. Enterprises, Ofc. Of  
Natural Resources, Dept. of  
Outdoor Recreation, Interagency Comm. For  
Pac. NW Elec. Power & Conserv. Plan. Council  
Parks and Recreation Commission  
Patrol, WA State  
Personnel Appeals Board  
Personnel Resources Board, WA  
Personnel, Dept. of  
Pilotage Commissioners, Board of  
Pollution Control Hearings Board  
Public Disclosure Commission  
Public Employees' Benefits Board, State  
Public Instruction, Supt. Of  
Public Pension Commission  
Public Power Supply System Exec Bd, WA  
Retirement Systems, Dept. of  
Revenue, Dept. of  
Salmon Recovery Funding Board  
Secretary of State. Office of the  
Senate  
Shorelines Hearings Board  
Social and Health Services, Dept. of  
Tax Appeals, Board of  
Transportation Commission  
Transportation, Dept. of  
Treasurer, Office of the State  
Utilities & Transportation Commission  
Veterans Affairs, Dept. of

Other:

Supreme Court & Court of Appeals

#### Officials Required to Report

Insurance Commissioner  
Executive Director, Members  
Members  
Director  
Professional staff members  
Members  
Professional staff members  
Director  
Lieutenant Governor  
Members  
Director, Members  
Members  
Director  
Commissioner of Public Lands  
Director, Members  
Members  
Director, Members  
Chief  
Members  
Members  
Director  
Members  
Members  
Executive Director, Members  
Members  
State Superintendent  
Members  
Members  
Director  
Director  
Members  
Secretary of State  
Senators, Professional staff  
Members  
Secretary  
Executive Secretary, Members  
Members  
Secretary  
State Treasurer  
Secretary, Members  
Director

Justices and Judges